

NC Department of the Secretary of State

STRATEGIC PLAN

FY 2021- 2023



By

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1. Strategic Plan Executive Summary

(Insert a high-level summary of your agency's strategic plan here. This should be a 1-2 page section that touches on the scope of your agency's work, the process for creating your strategic plan, and a brief summary of what your agency aims to accomplish over the next biennium).

The Department of the Secretary of State is charged with promoting economic growth and protecting the public from financial harm which is reflected in our mission statement and statutory authority. The agency facilitates economic development through business and capital formation, which makes this Department the lead state agency in many business related activities including but not limited to providing crucial business data to the marketplace, administering the state's Securities laws, authentication and notarization of high-level business transactions and governmental decisions, and protecting the economic value of intellectual property.

Each year the executive team at the Department of the Secretary of State gathers to discuss the agency's Strategic Plan. We review the agency's mission statement, discuss and finalize the agency's vision statement and departmental values. From there divisional leaders are brought in to review and implement the departmental goals and objectives that support the mission, vision and values of the agency. Objectives are finalized with measures in mind and these measures are chosen to support the objectives for the year.

Over the next biennium, the Department has short term aspirations of continuing to handle the challenges of the pandemic and the changing business environment that this event has created. Furthering our electronic services for our employees as well as our customers is a top priority with the digitization of our agency's documents for ease of research by our teleworking staff as well as a modernization project for our departmental knowledge based system. Over the longer term, the agency remains focused on being the business formation and capital creation leader through its use of state of the art technology as well as a talented work force.

2. Mission, Vision, and Values

Agency Mission Statement

To promote economic growth and protect the public from financial harm.

Agency Vision Statement

To be a national leader in facilitating financial capital, business and intellectual property formation; and enhancing E-Commerce services, all for the benefit and protection of the public.

Agency Values

Values of the North Carolina Department of the Secretary of State include the following:

- **Accountability & Ethical Behavior**
- **Communication**
- **Competence & Expertise**
- **Customer Service**
- **Diversity & Inclusion**
- **Innovation**
- **Professionalism**
- **Teamwork & Collaboration**

NOTE: These Agency Values have been placed in alphabetical order and thus is not reflective of the order of the priorities of the Department.

3. Goals, Objectives, and Performance Measures

*Note – The table below is a suggested format for organizing your agency’s goals, objectives, and performance measures. If your agency has a preferred format, you are welcome to use it as long as the same basic elements are captured. **While this table provides a format matching one objective to one performance measure, there may be cases where multiple objectives are linked to one measure and vice versa. Agencies should feel free to manipulate this table to best fit the needs of their plans.***

Goal 1 – Facilitate economic growth and investment in North Carolina by continually modernizing a state of the art system of reliable business, governmental, and personal records.	
Objective 1.1 – Make records accessible online and otherwise in a timely manner.	Performance Measure or Milestone 1.1 – Web Availability Report gathered from IT Web Services uptime report. This report will show how available information is from the Department. The Department would desire the highest percentage possible of availability for customers.
Objective 1.2 – Provide quality data available from the Department.	Performance Measure or Milestone 1.2 – Using metrics from data analytics, the Department will ensure data is timely, accurate, and reliable.
Objective 1.3 – Provide prompt and efficient processing of requests, recordings and other filings delivered to the Department.	Performance Measure or Milestone 1.3 – The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information.

Goal 2 – Sustain and enhance a technologically advanced and secure IT infrastructure that retains departmental accountability.

Objective 2.1 – Deploy a modernized IT infrastructure IT infrastructure that retains departmental accountability.

Performance Measure or Milestone 2.1 – IT Applications Development report of number of SOSKB enhancement projects completed. This report will provide measurements of how up-to-date the Department’s system remains.

Goal 3 – Maximize accessibility and efficiency by advancing the delivery of e-government services.

Objective 3.1 – Provide and promote electronic solutions so that customers can perform their business functions with the Department in an efficient and cost wise manner.

Performance Measure or Milestone 3.1 – Agency % of customers fulfilling reporting requirements electronically. This data from the IT Data Analytics report will provide analysis of electronic versus traditional paper transactions. A rising percentage from year to year would be the desired result.

Objective 3.2 – Continuous monitoring and identifying improvements to online customer services and electronic interfaces with the Department.

Performance Measure or Milestone 3.2 – Agency Customer Surveys report that analyzes acceptance of online solutions provided to customers. A high acceptance rate would be desired result.

Goal 4 – Fulfill the service expectations of citizens, businesses, and other stakeholders by providing knowledgeable, efficient, and courteous customer service.

Objective 4.1 – Provide timely, professional, courteous, and effective employee responses to customer filings, inquiries, and complaints.

Performance Measure or Milestone 4.1 – The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are served by the Department.

Objective 4.2 – Continue to be a workplace that attracts and retains a talented workforce.

Performance Measure or Milestone 4.2 – The Department will track the turnover of agency employees and note reasons for leaving.

Objective 4.3 – Continue to be a workplace that includes and values a diverse workforce.

Performance Measure or Milestone 4.3 – The Department will track its diversity in its workforce through its EEO Plan.

Goal 5 – Educate citizens, businesses, and other stakeholders about commercial and financial choices and how the Department and its data can assist in achieving economic success.

Objective 5.1 – Educate the public to prevent financial fraud and promote economic development.

Performance Measure or Milestone 5.1 – Number of attendees (citizens) to outreach and educational events through Department's Investment Protection, Education program. Desired result is to have the number of attendees increase each year.

Objective 5.2 – Educate businesses how to use departmental data to improve their capitalization and reduce risk.

Performance Measure or Milestone 5.2 – Number of attendees (businesses & professional individuals) to outreach and educational events through Department's Investment Protection and Education program. Desired result is to have number of attendees increase each year.

Goal 6—Safeguard citizens, businesses, and other stakeholders against fraud by ensuring the reliability of notarized signatures on legal, real estate, business, and financial documents.

Objective 6.1 – <i>Ensure that commissioned notaries are trained to perform their duties in a professional, ethical, and lawful manner.</i>	Performance Measure or Milestone 6.1 – Number of notaries trained annually. The Department will track and report on the number of notaries trained throughout the year.
Objective 6.2 – <i>Coordinate with other law enforcement agencies, including involvement in multistate, local and federal task forces to investigate issues involving notaries public.</i>	Performance Measure or Milestone 6.2 – Number of coordinated investigations. The Department will track and report on the number of enforcement actions against notaries that are coordinated with multiple entities including the Department.
Objective 6.3 – <i>Approve and review periodically electronic notary software solutions that meet North Carolina Standards.</i>	Performance Measure or Milestone 6.3 – Number and percentage of software solutions approved. The Department will track the number of electronic notary software solutions that are submitted and approved.

Goal 7 – *Protect investors, donors, innovators, intellectual property owners, and other stakeholders from misrepresentations, unethical conduct, and fraud by supporting a competitive and ethical business climate.*

Objective 7.1 – *Enforce the State’s criminal laws and administer the State’s civil laws related to intellectual property.*

Performance Measure or Milestone 7.1 – *The Department will track through its trademark enforcement agents the seizures of counterfeit intellectual property with intent to sell and bring charges where appropriate.*

Objective 7.2 – *Enforce the State’s criminal laws and administer the State’s civil laws related to charitable donations.*

Performance Measure or Milestone 7.2 – *The Department will track investigation statistics stemming from enforcement actions, disclosing the category and number of investigations completed for the fiscal year with data elements including letters issued, number of violations corrected, etc.*

Objective 7.3 – *Enforce the State’s criminal laws and administer the State’s civil laws related to investor protection.*

Performance Measure or Milestone 7.3 – *The Department will measure the number of Investment Advisors, Investment Advisor Representatives, Dealers and Registered Representatives licensed and disciplined in NC.*

Goal 8 – Investigate, prosecute, and resolve complex financial crimes utilizing the Department’s law enforcement agents, professional staff, technology, and partnerships with external stakeholders.

Objective 8.1 – Investigate and enforce laws to prevent fraud and promote economic development.

Performance Measure or Milestone 8.1 – The Department will track through its enforcement staff the number of securities and financial fraud cases investigated and prosecuted.

Objective 8.2 – Ensure that the Department has a functioning and accredited Cybercrime lab staffed with certified professionals.

Performance Measure or Milestone 8.2 – The Department will measure the number of securities and financial fraud cases investigated.

Objective 8.3 – Sustain and enhance the technological and forensic capabilities in support of the Department’s investigative and prosecutorial responsibilities.

Performance Measure or Milestone 8.3 – The Department will track through its forensic support staff the number of securities and financial fraud cases investigated and prosecuted.

Goal 9 – Administer miscellaneous programs and duties assigned to the Department.

Objective 9.1 – *Manage program filings and registrations including but not limited to: Calendar of Public Meetings; Business Opportunities; Loan Brokers; Campground Operators/Sellers; Telephonic Sellers; Invention Developers; Gender Equity Appointment Reporting; Ticket Resales; North Carolina Manual; and, State Cable Franchises.*

Performance Measure or Milestone 9.1 – The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information.

Objective 9.2 – *Administer the North Carolina Electoral College and Constitutional Amendment Publication Commission.*

Performance Measure or Milestone 9.2 – The Department performs the task of administering the Electoral College every four years and the Constitutional Amendment Publication Commission when proposed amendments are to appear on a general election ballot. The Department will track these events with video recordings of the Electoral College proceedings and with transcripts of the NC Constitutional Amendment meetings, public meeting notices, and notices of adopted summaries distributed to elections boards and press.

Objective 9.3 – *Promote international relations by collaborating with other entities to inform and introduce international groups to North Carolina.*

Performance Measure or Milestone 9.3 – The Department holds a number of meetings with international groups annually and many times is the lead agency in a partnering environment. The Department will keep an account of all the meetings with international groups.

4. Highlights and Opportunities

Agency Highlights and Best Practices

(Insert success stories or operations that your agency wants to highlight. This section is an opportunity to demonstrate results or best practices that might be useful to share with other agencies. Include strategies or performance related initiatives that have yielded results).

Potential Initiatives

(Insert a description of any additional initiatives that your agency envisions and would like to take on but does not currently have the resources to undertake).

At the time the Department of the Secretary of State has no potential initiatives planned.

Collaborative Opportunities

(Insert any identified opportunities for statewide or inter-agency collaborative initiatives that would yield significant efficiencies or improve effectiveness in State programs).

At this time the Department of the Secretary of State has not identified any collaborative opportunities.